



AUG 13 2001

JC139

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/829,439	04/10/2001	Craig E. Columbus	26119.120US1

## CONFIRMATION NO. 8762

24395  
 HALE & DORR LLP  
 THE WILLARD OFFICE BUILDING  
 1455 PENNSYLVANIA AVE, NW  
 WASHINGTON, DC 20004

## FORMALITIES LETTER



\*OC00000006277095\*

Date Mailed: 07/10/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/15/2001 HMD001 00000085 080219 09829439

## FILED UNDER 37 CFR 1.53(b)

01 FC-101	710.00 CH
02 FC-105	130.00 CH
03 FC-102	800.00 CH
04 FC-103	1026.00 CH

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1826.
  - \$1026 for 57 total claims over 20.
  - \$800 for 10 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2666.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice MUST be returned with the reply.*

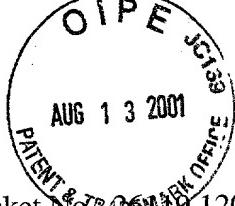


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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



HA

Sector  
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Docket No. 6120 US1

PATENT**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of :  
Craig E. COLUMBUS, et al. :  
Serial No. : 09/829,439 :  
Filed: April 10, 2001 :  
For: SYSTEM, METHOD AND COMPUTER :  
READABLE MEDIUM CONTAINING :  
INSTRUCTIONS FOR EVALUATING AND :  
DISSEMINATING SECURITIES ANALYST :  
PERFORMANCE INFORMATION : .

Honorable Commissioner of  
Patents and Trademarks  
Washington D.C. 20231

Sir:

**RESPONSE TO NOTICE  
OF MISSING PARTS OF APPLICATION**

In response to the Notice of Missing Parts of Application dated July 10, 2001, submitted herewith are the following documents for filing in the above-referenced application:

1. Declaration and Power of Attorney (which is in compliance with 37 CFR 1.63)
2. Late Filing Fee Surcharge of **\$130.00**, basic filing fee of **\$710.00**, additional claims fee of **\$1,026**, and independent claims fee of **\$800.00** (totaling **\$2,666.00**).
3. Assignment and Fee of **\$40.00**

Please charge Deposit Account No. 08-0219 in the amount of **\$2,706.00**. Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 08-0219 and please credit any excess fees to such deposit account.

The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 08-0219. A duplicate copy is enclosed.

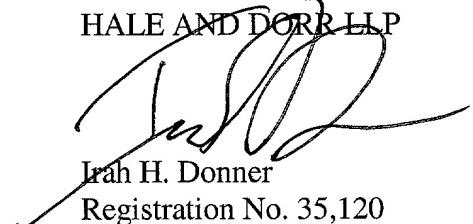
Any additional filing fees required under 37 CFR 1.16.

[X] The Commissioner is hereby authorized to charge payment of following fees during the pendency of this application or credit any overpayment to Deposit Account No. 08-0219. A duplicate copy of this sheet is enclosed.

- [X] Any patent application processing fees under 37 CFR 1.17.  
[X] Any filing fees under 37 CFR 1.16 for presentation of extra claims.

Respectfully submitted,

HALE AND DORR LLP



Irah H. Donner  
Registration No. 35,120

Date: August 10, 2001

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1455 Pennsylvania Avenue, NW  
Washington, DC 20004  
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PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of :

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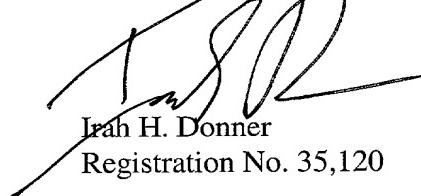
Sir:

**TRANSMITTAL OF FORMAL DRAWINGS**

At the time the above application was filed, informal drawings were presented with the application. The formal drawings (23 sheets) are submitted herewith.

Respectfully submitted,

HALE AND DORR LLP



Irah H. Donner  
Registration No. 35,120

Date: August 10, 2001

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